Full Text PA-95-029

PREDOCTORAL FELLOWSHIP AWARDS FOR MINORITY STUDENTS

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PURPOSE

This is a new program announcement (PA) from the National Institutes of Health (NIH) for National Research Service Award (NRSA) Individual Predoctoral Fellowships for Minority Students. This trans-NIH announcement applies to most NIH funding components and replaces the yearly Request for Applications that has been issued by the National Institute of General Medical Sciences (NIGMS).

These fellowships will provide up to five years of support for research training leading to the Ph.D. or equivalent research degree; the combined M.D./Ph.D. degree; or other combined professional doctorate/research Ph.D. degrees in the biomedical or behavioral sciences. These fellowships are for well-qualified students from minority groups found to be underrepresented in the biomedical and behavioral sciences in the United States. Support is NOT available for individuals enrolled in medical or other professional schools UNLESS they are enrolled in a combined professional doctorate/Ph.D. degree program in biomedical or behavioral research.

The intent of this Minority Predoctoral Fellowship Program is to encourage students from minority groups that are underrepresented in the biomedical and behavioral sciences to seek graduate degrees and thus further the goal of increasing the number of minority scientists who are prepared to pursue careers in biomedical and behavioral research.

ELIGIBILITY REQUIREMENTS

Citizenship. At the time of application, individuals must be citizens or noncitizen nationals of the United States, or have been lawfully admitted to the United States for permanent residence (i.e., in possession of a currently valid Alien Registration Receipt Card I-551, or other legal verification of such status). Noncitizen nationals are persons born in outlying possessions of the United States (i.e., American Samoa and Swains Island). Individuals on temporary or student visas are not eligible.

Minority Status. Applicants must be from ethnic/racial groups that are underrepresented in research in the biomedical sciences in the U.S. For purposes of this announcement, underrepresented minority students are defined as individuals belonging to a particular ethnic or racial group which has been determined by the applicant's graduate institution to be underrepresented in biomedical or behavioral research in the U.S. In making these awards, the NIH will give priority consideration to applications from African Americans, Hispanics, Native Americans, Alaskan Natives, Pacific Islanders, and others who have been shown to be underrepresented in biomedical or behavioral research nationally.

In addition, an applicant must currently be enrolled in a Ph.D. or equivalent research degree program, a combined M.D./Ph.D. program, or other combined professional doctorate/research Ph.D. graduate program in the biomedical or behavioral sciences, or have been accepted by and agreed to enroll in such a graduate program in the academic year for which funds are sought.

MECHANISM OF SUPPORT

This PA for individual predoctoral fellowships (F31) is issued under the auspices of the NRSA Act (see AUTHORITY AND REGULATIONS). An applicant must work with her/his research advisor or graduate program director in preparing the application. Awards will be administered under the Public Health Service (PHS) Grants Policy Statement and the NRSA Guidelines for Individual Awards and Institutional Grants.

Period of Support

The period of fellowship support requested in response to this PA may not exceed five years. (Note: the total period of predoctoral training support under the NRSA authorization is limited to 5 years except in unusual circumstances where a waiver has been requested from and granted by

the funding component.) Continuation of the fellowship award for each subsequent year beyond the first is based upon evidence of satisfactory progress in a graduate program.

Award Provisions

The fellowship award provides an annual stipend of \$10,008 to help meet the fellow's living expenses; a tuition and fee allowance in accordance with NIH policy; and an annual institutional allowance of \$2,000, which may be used for travel to scientific meetings and for laboratory and other training expenses.

Stipend Supplementation and Compensation

An institution is permitted to provide funds to a fellow in addition to the stipend paid by the NIH. Such additional amounts may be in the form of augmented stipends (supplementation) or compensation for services.

Supplementation. Supplementation, when provided, must not obligate the fellow in any way. Additionally, no Federal funds may be used for supplementation unless specifically authorized under the terms of both the program from which such supplemental funds are to be received and the program whose funds are to be supplemented. Under no circumstances may PHS grant funds be used for supplementation.

Compensation. An institution may provide additional funds to a fellow in the form of compensation (as salary and/or tuition remission) for services, such as teaching or serving as a laboratory assistant. Compensation for services is not considered stipend supplementation. A fellow may receive compensation for services as a research assistant or in some other capacity on a Federal research grant, including a PHS research grant. However, compensated services must occur on a limited, part-time basis apart from the normal training activities, which require a minimum of 40 hours per week. Compensation may not be paid from a research grant that supports the same research that is part of the F31 training experience.

Under no circumstances may the conditions of stipend supplementation or the services provided for compensation interfere with, detract from, or prolong the fellow's approved NRSA training program.

A fellow may make use of Federal educational loan funds and assistance under the Veterans Readjustment Benefits Act (G.I. Bill). Such funds are not considered supplementation or compensation.

Concurrent Awards

An F31 may not be held concurrently with another Federally sponsored fellowship or similar Federal award that provides a stipend or otherwise duplicates provisions of the NRSA. However, an individual may accept concurrent educational benefits from the Department of Veterans's Affairs (e.g., G.I. Bill) and Federal loans.

Payback Requirements

The NIH Revitalization Act of 1993, signed into law on June 10, 1993, includes provisions in Section 1602 which eliminate the payback obligation requirements for predoctoral support. Accordingly, the Service Assurance Section VII (pages 29 and 30) of the fellowship application, PHS 416-1, Revised 10/91, is no longer applicable to this program.

For more details concerning this change, see NIH Guide for Grants and Contracts, Volume 22, Number 27, July 30, 1993.

Tax Liability

Section 117 of the Internal Revenue Code applies to the tax treatment of all scholarships and fellowships. Degree candidates may exclude from gross income reported for tax purposes any amount used for tuition and related expenses, such as fees, books, supplies, and equipment, required for courses of instruction at a qualified educational organization.

The taxability of stipends, however, in no way alters the relationship between NRSA fellows and institutions. NRSA stipends are not considered salaries. NRSA fellows are not considered to be in an employee-employer relationship with the NIH or with the institution in which they are pursuing their degree.

The interpretation and implementation of the tax laws are the domain of the Internal Revenue Service (IRS) and the courts. The NIH takes no position on what the status may be for a particular taxpayer, and it does not have the authority to dispense tax advice. Individuals

should consult their local IRS office about the applicability of the law to their situation and for information on the proper steps to be taken regarding their tax obligations.

The business office of the sponsoring institution is responsible for the annual preparation and issuance of IRS form 1099 (Statement of Miscellaneous Income) for fellows paid through the institution.

Other Training Costs

Tuition and fees, in accordance with NIH policy, will be provided for the fellow, along with an institutional allowance of \$2,000 per 12- month period to non-Federal, nonprofit sponsoring institutions to help defray such awardee expenses as research supplies, equipment, travel to scientific meetings, and related items. This allowance is intended to cover training-related expenses for the individual awardee. The allowance is not available until the fellow officially activates the award. If the fellow is not enrolled or engaged in training for more than 6 months of the award year, only one-half of that year's allowance may be charged to the grant. The Notice of Research Fellowship Award will be revised, and the balance must be refunded to the NIH.

Additional funds may be requested by the institution if the training of a fellow involves extraordinary costs for: (1) travel to field sites remote from the sponsoring institution; or (2) accommodations for fellows who are disabled, as defined by the Americans with Disabilities Act. The funds requested for extraordinary costs must be reasonable in relationship to the total dollars awarded under the F31. Such additional funds shall be provided only in exceptional circumstances that are fully justified and explained by the institution.

Funds are not available to cover the cost of travel between the fellow's place of residence and a training institution. However, in cases of extreme need or hardship, a one-way travel allowance may be authorized by the sponsoring institution. Such travel must be paid from the institutional allowance.

APPLICATION PROCEDURES

The fellowship application kit PHS 416-1 must be used in applying for these awards. These kits are available at most university business offices and from the Grants Information Office, Division of Research Grants (DRG), National Institutes of Health, 5333 Westbard Avenue, Bethesda, Maryland 20892, (301) 435-0714.

Potential applicants are STRONGLY ENCOURAGED to consult with one of the NIH staff listed under INQUIRIES prior to submitting an application. Applicants should identify a faculty mentor/sponsor to help them determine the most appropriate NIH institute, and staff member, to contact.

The applicant must follow ALL general instructions in the application kit AND the specific instructions included in the APPENDIX to this announcement.

Applicants and sponsoring institutions must comply with policies and procedures governing the protection of human subjects, the humane care and use of live vertebrate animals, and the inclusion of women and minorities in study populations.

The following MUST be included with the application at the time of submission. Failure to include any of these items may delay review of the application:

o at least THREE reference letters in sealed envelopes affixed to the original face page of the application; APPLICATIONS SUBMITTED WITHOUT THREE REFERENCE LETTERS WILL BE RETURNED WITHOUT REVIEW.

o a copy of the results of either the Graduate Record Examination or the Medical College Admission Test (for M.D./Ph.D. applicants) must be included at the end of the application;

o a clear and legible copy of the applicant's transcript(s) from all undergraduate and graduate institutions in which the applicant is/has been enrolled must be included at the end of the application;

o certification of eligibility completed by the institution (see Suggested Format at end of this announcement) must be included at the end of the application; and

o a description of the graduate or combined degree program in which the applicant is either enrolled or has been admitted and agreed to enroll must be included as Item 33 of the application.

INCOMPLETE APPLICATIONS WILL NOT BE REVIEWED.

SUBMISSION

Submit a signed, typewritten original of the application (including the Checklist, Personal Data form, at least three sealed reference letters, and all other required materials) and two (2) exact, clear, single-sided photocopies of the signed application, in one package to:

Division of Research Grants
National Institutes of Health
6701 Rockledge Drive, Room 1040
Bethesda, MD 20892
Bethesda, MD 20817 (express mail)

An individual may not have more than one competing NRSA individual application pending concurrently with the NIH or the PHS. Furthermore, an application cannot be submitted in response to this PA that is essentially identical to one that has already been reviewed. This does not preclude the submission of substantial revisions of applications already reviewed, but such applications must include an Introduction addressing the previous critique. If a candidate submits an application in response to this PA that is substantially similar to one already submitted to the NIH for review, but which has not yet been reviewed, the applicant will be asked to withdraw one of them.

Application Receipt and Review Schedule

F31 applications undergo an expedited review that takes approximately five months. The two annual review cycles are as follows:

Application Receipt Date: May 1 Nov 15
Initial Review Date: Jun/Jul Jan/Feb
Secondary Review Date: Aug/Sep Apr/May
Earliest Possible Start Date: Sep 1 May 1

REVIEW CONSIDERATIONS

Complete applications will be assigned to the appropriate participating Institute and a suitable DRG initial review group (IRG). Applicants will automatically be sent a postcard to inform them of their application's Institute and IRG assignment.

Applications receive two sequential levels of review. The first level is an assessment of the merit of the research training by an IRG, composed primarily of nongovernment scientists selected for

their competence in research and research training in a particular scientific area. After the IRG meeting, the Scientific Review Administrator (SRA), a designated Federal official who coordinates the review of applications for the IRG, prepares a written summary of the review of each application and forwards it to the appropriate NIH Institute. A second level of review is provided by Institute staff members and a funding decision is made by the Institute.

Review Criteria

The review criteria include:

- o the quality of the academic record and the prior research experience of the applicant;
- o the quality of the graduate program in which the applicant is already enrolled or plans to enroll;
- o the qualifications and the research/research training experience of the applicant's sponsor or research advisor;
- o the match between the research interests of the student and the research advisor/sponsor;
- o for advanced graduate students, scientific significance, originality, and feasibility of the proposed research; for beginning students, quality and clarity of stated research interests.

Notification

Shortly after the IRG meeting, each applicant will be sent a postcard that includes the IRG recommendation and the name and phone number of the Institute program official responsible for the application. When the program official representing the Institute receives the written summary of the review, prepared by the SRA after the review meeting, he/she automatically forwards a copy to the applicant.

Following the second-level review, the program official will notify each applicant of the final disposition of his/her application. Any questions on IRG recommendations and funding possibilities should be directed to the appropriate Institute program official, not the Scientific Review Administrator of the IRG.

AWARD CRITERIA

The staff of the NIH Institutes use the following criteria in making awards: (1) eligibility of the applicant; (2) the IRG recommendation of the overall merit of the application; (3) the relevance of the application to the Institute's research priorities and program balance; and (4) the availability of funds.

Activation

No funds may be disbursed until the fellow has started training under the award and an Activation Notice (PHS 416-5) has been submitted to the NIH.

An awardee has up to 6 months from the issue date on the Notice of Research Fellowship Award to activate the award. Under unusual circumstances, an Institute may grant an extension of the activation period upon receipt of a specific request from the fellow.

AUTHORITY AND REGULATIONS

NRSAs are made under the authority of Section 487 of the Public Health Service Act as amended (42 USC 288), and Title 42 of the Code of Federal Regulations, Part 66. The following Catalog of Federal Domestic Assistance numbers are applicable to these awards: 93.121, 93.172, 93.173, 93.272, 93.278, 93.282, 93.306, 93.361, 93.398, 93.821, 93.837-93.839, 93.846-93.849, 93.853-93.856, 93.859, 93.862- 93.867, 93.880, 93.894, and 93.929.

Fellowships must be administered in accordance with the current NRSA Guidelines for Individual Awards and Institutional Grants, the current PHS Grants Policy Statement, and any terms and conditions specified on the Notice of Research Fellowship Award.

This program is not subject to the intergovernmental review requirements of Executive Order 12372 or Health Systems Agency review.

INQUIRIES

For additional information contact the appropriate individual listed below or if you are not sure whom to contact, call Dr. Walter Schaffer, Research Training Officer, National Institutes of Health, (301) 496-9743. Dr. Schaffer can also be reached on Internet at ws11q@nih.gov. All the individuals listed below can be reached via the Federal Information Relay System, 1 (800) 877-8339.

National Institute on Aging (NIA)

Dr. Robin Barr

Telephone: (301) 496-9322

Email: rb42h@nih.gov

National Institute on Alcohol Abuse and Alcoholism (NIAAA)

Dr. Ernestine Vanderveen Telephone: (301) 443-1273

Email: tvanderv@willco.niaaa.nih.gov

National Institute of Allergy and Infectious Diseases (NIAID)

Dr. Milton Hernandez

Telephone: (301) 496-7291

Email: mh35c@nih.gov

National Institute of Arthritis and Musculoskeletal and Skin Diseases (NIAMS)

Dr. Richard Lymn

Telephone: (301) 594-5128

Email: rl28b@nih.gov

National Cancer Institute (NCI)

Dr. John Schneider

Telephone: (301) 496-8580

E-mail: schneidj@dcbdcep.nci.nih.gov

Dr. Andrew Vargosko

Telephone: (301) 496-8580

Email: vargoska@dcbdcep.nci.nih.gov

National Institute of Child Health and Human Development (NICHD)

Ms. Hildegard Topper

Telephone: (301) 496-0104

Email: ht20t@nih.gov

National Institute on Deafness and Other Communication Disorders (NIDCD)

Dr. Daniel Sklare

Telephone: (301) 496-1804 Email: daniel_sklare@nih.gov

National Institute of Dental Research (NIDR)

Dr. James Lipton

Telephone: (301) 594-2618

Email: jl46d@nih.gov

National Institute of Diabetes and Digestive and Kidney Diseases

(NIDDK)

Division of Diabetes, Endocrinology, and Metabolic Diseases

Dr. Ronald Margolis

Telephone: (301) 594-8819

Email: ronm@dvsgate.niddk.nih.gov

Division of Digestive Diseases and Nutrition

Dr. Judith Podskalny

Telephone: (301) 594-8876

Email: judyp@dvsgate.niddk.nih.gov

Division of Kidney, Urologic and Hematologic Diseases

Dr. Charles Rodgers

Telephone: (301) 594-7726

Email: chuckr@dvsgate.niddk.nih.gov

National Institute on Drug Abuse (NIDA)

Division of Basic Research

Dr. Charles Sharp

Telephone: (301) 443-1887

Email: csharp@aoada.ssw.dhhs.gov

Division of Clinical Research

Dr. Arthur Horton

Telephone: (301) 443-4060

Email: ahorton@aoada.ssw.dhhs.gov

Division of Epidemiology and Prevention Research

Dr. Mario De La Rosa

Telephone: (301) 443-6543

Email: mdelaros@aoada.ssw.dhhs.gov

Medications Development Division

Dr. Heinz Sorer

Telephone: (301) 443-6270

E-mail: hsorer@aoada.ssw.dhhs.gov

National Institute of Environmental Health Sciences (NIEHS)

Dr. Michael Galvin, Jr.

Telephone: (919) 541-7825

Email: mg63c@nih.gov

National Eye Institute (NEI)

Dr. Maria Giovanni

Telephone: (301) 496-0484

Email: mg37u@nih.gov

National Institute of General Medical Sciences (NIGMS)

Dr. Adolphus Toliver

Telephone: (301) 594-3900

Email: tolivera@gm1.nigms.nih.gov

National Heart, Lung, and Blood Institute (NHLBI)

Division of Blood Diseases and Resources

Dr. Fann Harding

Telephone: (301) 496-1817

Email: fh11h@nih.gov

Division of Heart and Vascular Diseases

Dr. Joyce Hunter

Telephone: (301) 496-1724

Email: jh75q@nih.gov

Division of Lung Diseases

Ms. Mary Reilly

Telephone: (301) 594-7466

Email: mr50w@nih.gov

Division of Epidemiology and Clinical Applications

Dr. Thomas Blaszkowski

Telephone: (301) 496-1841

Email: tb33i@nih.gov

National Institute of Neurological Disorders and Stroke (NINDS)

Mr. Edward Donohue

Telephone: (301) 496-4188

Email: ed25b@nih.gov

National Institute of Nursing Research (NINR)

Dr. Teresa Radebaugh

Telephone: (301) 594-7590

Email: tradebaugh@ep.ninr.nih.gov

National Center for Human Genome Research (NCHGR)

Dr. Bettie Graham

Telephone: (301) 496-7531

Email: bg30t@nih.gov

National Center for Research Resources (NCRR)

Dr. Harriet Gordon

Telephone: (301) 594-7945

Email: harrietg@ep.ncrr.nih.gov

NOTE: The National Institute of Mental Health (NIMH) sponsors similar predoctoral programs and provides support for dissertation research for students from underrepresented minority groups whose research relates to the scientific interests of the NIMH. For information on these programs contact the Office for Special Populations, National Institute of Mental Health, 5600 Fishers Lane, Parklawn Building, Room 17C14, Rockville, MD 20857, telephone (301) 443-2847.

The Minority Access to Research Careers (MARC) Program of NIGMS has a similar fellowship program to support graduates of its various MARC Honors Undergraduate Research Training

programs while they attend graduate school to earn an advanced degree in one of the biomedical sciences. Graduates of the MARC Program are encouraged to apply to the MARC Predoctoral Fellowship Program. For further information contact the MARC Program Office, National Institute of General Medical Sciences, Natcher Building, Room 2AS37, Bethesda, MD 20892, telephone (301) 594-3900.

APPENDIX

Instructions for Completing the Application

A. To be completed by the student-applicant

(Form Page 1)

Item 1. ("Title of Research Training Proposal"). Type: MINORITY PREDOCTORAL FELLOWSHIP PROGRAM

Item 2. ("Level of Fellowship"). Type: Predoctoral.

Item 3. ("Program Announcement Number"). Type: PA-95-

Items 4 - 8. Self explanatory.

Item 4i ("Citizenship"). See explanation under 'ELIGIBILITY REQUIREMENTS' at the beginning of this Announcement. Applications from permanent residents MUST be accompanied by a notarized statement.

(Items 9 - 14. Completed by sponsor).

Item 15. YOU MUST SIGN THE APPLICATION.

(Form Page 2)

Items 16-18. Self explanatory; if any do not apply to you, type N/A.

(Items 19 and 20. Completed by sponsor)

Item 21. (Abstract of Proposed Research). If you have selected a thesis topic, briefly describe, in abstract form, the question you are studying, how you are approaching it, and the health relatedness of your project. If you have not yet selected a thesis project, type "No thesis selected," and instead give a brief description of the research area that interests you most, even if your research interests are still very broad, and why.

(Form Page 3)

Fill in the appropriate page numbers in the spaces provided.

(Form Page 4)

Item 22. (Scholastic Performance). List all undergraduate and graduate courses you have taken and the grades you received. In addition, you MUST submit a LEGIBLE copy of a transcript from all undergraduate and graduate institutions you have attended or are currently attending.

(Form Page 5)

Items 23-26. Self-explanatory

(Form Page 6)

Item 27. Research Experience

- a. (Summary). Provide a thorough description of your relevant work and research experiences, including time, place, research director, and your role in the research.
- b. (Doctoral Dissertation). Leave blank.
- c. (Publications). Include a list of publications, abstracts, and poster presentations. Three (3) collated sets of copies of publications may be provided as part of Section 3 (Appendix).

Item 28. (Revised Application). Complete ONLY if this application is a revision of an application submitted earlier. Limit this to 1 page.

Item 29. (Research Training Plan)

- a. (Activities Under Award). Explain your research training and long-range career goals, and how the proposed course of study to be supported by this fellowship will help you attain these goals. If appropriate, explain how prior work and research experiences affected your choice of career goals.
- b. and c. (Research Proposal and Respective Contributions). If you have selected a research thesis topic, complete this section according to the instructions. If you have not yet selected a thesis, give a description of the research area that interests you most and why.
- d. (Selection of a Sponsor and Institution). Explain why you chose to enroll in this university/institution and in this graduate program. If you have selected a research advisor, give the rationale for your choice. If you have not selected an advisor, identify up to five individuals with whom you would like to work, giving a rationale for your choices.
- B. To be completed by the research advisor or sponsor

If the applicant HAS SELECTED A RESEARCH ADVISOR, the ADVISOR must complete the items in this section. If the applicant HAS NOT YET SELECTED A RESEARCH ADVISOR, the director of the graduate program should designate a sponsor to complete these items. The director may choose to serve as the sponsor.

For Items 9-14 on Form Page 1, items 19-20 on Form Page 2, and items 30-37 on Form Pages 7, 8, and 9 follow the instructions in the 416 kit.

In Item 33, in addition to the information requested in the application kit:

- (1) for ALL students, provide a full description of the graduate or combined degree program in which the applicant is (or is to be) enrolled. This description should give both the normal course of study (both didactic and laboratory) for students enrolled in the program AND the specific training plan for the applicant;
- (2) for students ALREADY ENROLLED in the graduate program, describe the applicant's course of study up to the time of submission of the application and plans for further study; and
- (3) for ALL students, provide the applicable tuition and fees for each year of support requested. Such tuition and fees must be those charged to all similar individuals regardless of source of support.

- C. To be supplied by the university or institution
- 1. A statement from the institution certifying: (a) the applicant is enrolled as a predoctoral student OR has been accepted by and agreed to enroll in the graduate training program; (b) the applicant is a citizen, non-citizen national or permanent resident of the U.S. (see 'ELIGIBILITY REQUIREMENTS, at the beginning of this Announcement); (c) the applicant is an eligible minority individual, as indicated on page 2 of this Announcement (this certification MAY include an identification of the applicant's ethnic/racial group); and This statement must be signed by the director of the graduate program in which the student is (or is to be) enrolled and by the official authorized to sign for the institution. FAILURE TO INCLUDE THIS CERTIFICATION MAY DELAY REVIEW OF THE APPLICATION. The institution may wish to use the format given at the end of the announcement.

Although optional, identification of the applicant's ethnic or racial group will aid the NIH in making awards and in determining the success of this program.

2. By signing Item 37 (Form Page 9), the institution is also certifying the accuracy of the tuition and fees requested for each year of support as listed in Item 33.

SUGGESTED FORMAT FOR INSTITUTIONAL CERTIFICATION (see Appendix section C.1, above)

INSTITUTIONAL CERTIFICATION PREDOCTORAL FELLOWSHIP AWARDS FOR MINORITY STUDENTS

This is to certify that (applicant's name), who submitted an application for an NIH Predoctoral Fellowship Award for Minority Students is:

- (1) currently enrolled in a Ph.D. or combined M.D./Ph.D. (or other combined professional doctorate/research doctorate) degree program in the biomedical sciences at this institution, or has been accepted by and agreed to enroll in such a program during the (insert date) academic year;
- (2) an underrepresented minority student, i.e., belonging to a particular ethnic or racial group that has been determined by our institution to be underrepresented in biomedical or behavioral research in the U.S.;

OPTIONAL: This individual is a member of the racial/ethnic group.

(3) a U.S. citizen, non-citizen national, or a permanent resident.

Signature Signature

Graduate Program Director Authorized University Official

Title Title

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